

VA Office of Information and Technology Enterprise Architecture Management



Systems Integration and Development Service

Final Supplier Agreement Management Policy SAM010

Version 1.0

June 2, 2006

Department of Veterans Affairs

Letter of Promulgation

As the Director of the Systems Integration and Development Services (SIDS) in the Office of Enterprise Architecture Management (OEAM) at the Department of Veterans Affairs (VA) Chief Information Officer (CIO), I do hereby formally promulgate this Supplier Agreement Management policy as the official policy of the SIDS. This Supplier Agreement Management policy will help standardize SIDS Supplier Agreement Management components, clarify and enhance current practices, facilitate the alignment of the organization with the Carnegie-Mellon University Software Engineering Institute Capability Maturity Model Integration (CMU/SEI CMMI), and ensure compliance with OEAM Supplier Agreement Management policy and the Enterprise Architecture provisions of the Information Technology Management Reform Act (Clinger-Cohen Act of 1996 (40 U.S.C. 1401(3))) and direct their application across the SIDS.

May 31, 2006
(Effective Date)

(Signature obtained and on file)
Frances G. Parker, Director (Acting)
Systems Integration and Development Service
Office of Enterprise Architecture Management
VA Office of Information and Technology

May 15, 2006
(Date)

Record of Changes

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0.9	N/A	Initial development of draft policy	5/11/2006	Mary Wu
1.0	N/A	Incorporate team comments	6/2/2006	Mary Wu

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1. INTRODUCTION

1.1. PURPOSE

This document establishes a Supplier Agreement Management (SAM) policy for the Systems Integration and Development Service (SIDS) in the Office of Enterprise Architecture Management (OEAM), Office of Information and Technology (OI&T), U. S. Department of Veterans Affairs (VA).

1.2. SCOPE

This policy applies to all SIDS organizations, branches, sub-organizations, integration and development projects, and contractors receiving, expending, or disbursing SIDS funds.

1.3. EFFECTIVE DATE

This policy shall apply to all SIDS projects and offices effective 15 calendar days after signature by the Director, SIDS (or designee). All projects a) started after the effective date or b) in Phase 0 (zero) of the System Development Life Cycle (SDLC) at the effective date shall comply with this policy.

Projects assigned to SIDS that are in the middle of any SDLC phase other than Phase 0 (zero) at the effective date of this policy are required to demonstrate due diligence in complying with this policy within 30 days of the effective date, to the degree that it does not jeopardize their ability to satisfy prior project commitments. Additionally, all projects in the maintenance and operations phase shall, at a minimum, assess and report compliance with this policy on an annual basis.

All other projects and efforts under SIDS authority shall, at a minimum, assess their compliance with this policy, report their assessment and their demonstrations of due diligence in complying with this policy prior to the start of their next new SDLC phase.

Projects requesting a waiver from the requirements in this policy shall make the request in writing to the Director, SIDS. The Director, SIDS, shall consider special situations for non-compliance on a case-by-case basis.

1.4. RESPONSIBILITIES

The Director, SIDS, has the basic responsibility for implementing this policy within the SIDS organization. The heads of all SIDS sub-organizations (e.g., branches, staff elements, their subordinate organizations and offices, and all projects) are responsible for implementing this policy and for compliance with the requirements of this policy within their respective organizations and projects. The Director, SIDS, has responsibility for ensuring that compliance with this policy is assessed and reported at least annually to the Associate Deputy Assistant Secretary for Enterprise Architecture Management.

SIDS sub-organization managers (e.g., branches, staff elements, their subordinate organizations and offices, and all projects) have the basic responsibility for implementing the policy for their respective offices and projects. If an office or project manager is not a VA employee, then a VA employee shall be assigned to provide oversight to the non-VA IT manager to ensure compliance with this policy.

1.5. REFERENCES AND RELATED DOCUMENTS

1.5.1. References

1. Carnegie Mellon University/Software Engineering Institute, Capability Maturity Model Integration for Systems Engineering, Software Engineering, Integrated Product and Process Development, and Supplier Sourcing (CMMI-SE/SW/IPPD/SS) V1.1, March 2002.

1.5.2. Related Documents

This policy is subordinate to the VA OI&T OEAM policy on Supplier Agreement Management. Any discrepancy or conflict between this policy and the OEAM policy will be resolved in favor of the higher authority. Anyone observing or otherwise aware of such a discrepancy or conflict should bring it to the attention of the Director, SIDS, as soon as possible.

This policy is closely related to policies on project monitoring and control, risk management plan, requirements management, configuration management, quality assurance, measurement and analysis, and project planning.

1.6. TERMS AND ABBREVIATIONS

1.6.1. Terms

The following terms, with definitions from the CMU/SEI CMMI, are included here for reference.

TERM	DEFINITION
Managed process	A process that is planned and executed in accordance with policy; employs skilled people having adequate resources to produce controlled outputs; involves relevant stakeholders; is monitored, controlled, and reviewed; and is evaluated for adherence to its process description.
Objectively Evaluate	To review activities and work products against criteria that minimize subjectivity and bias by the reviewer. An example of an objective evaluation is an audit against requirements, standards, or procedures by an independent quality assurance function.
Supplier	An entity offering products or services.

1.6.2. Abbreviations

The following abbreviations are used in this document:

CMMI	Capability Maturity Model Integration
CMU/SEI	Carnegie-Mellon University/Software Engineering Institute
OEAM	Office of Enterprise Architecture Management
OI&T	Office of Information and Technology
SAM	Supplier Agreement Management
RFW	Request for Waiver
SIDS	Systems Integration and Development Service
VA	U.S. Department of Veterans Affairs

2. POLICY

2.1. POLICY STATEMENT

The Supplier Agreement Management policy of the SIDS is to:

1. Manage the acquisition of goods and services from contractors for which there exists a formal agreement;
2. Establish and maintain agreements with suppliers of goods and services;
3. Accepting delivery of acquired goods and services; and
4. Transition acquired goods and services to SIDS projects.

This is the minimum SIDS SAM policy. SIDS sub-organizations desiring to develop SAM policies less restrictive than this SIDS SAM policy must submit a written Request for Waiver (RFW) and have it approved by the Director, SIDS, or higher authority. An RFW is not required for more restrictive policies.

2.2. SUPPLIER AGREEMENT MANAGEMENT GOALS

The Supplier Agreement Management goals of the SIDS are to:

1. Establish and maintain supplier agreements;
2. Satisfy agreements from both the project and supplier perspective;
3. Institutionalize a managed SAM process.

2.2.1. Establish and Maintain Supplier Agreements

To establish and maintain agreements, the SIDS and its sub-organizations must:

1. Determine the type of acquisition for goods and services to be acquired;
2. Evaluate and select suppliers; and
3. Establish and maintain formal supplier agreements.

2.2.2. Satisfy Agreements

To satisfy supplier agreements, the SIDS and its sub-organizations must:

1. Review candidate goods and services to ensure that meet the specified requirements that are covered in the supplier agreements;
2. Perform activities with the supplier as specified in the agreements;
3. Conduct acceptance reviews and tests to ensure the acquired goods or services meet the agreements;
4. Accept the acquired goods and services; and
5. Transition the acquired goods and services to the SIDS projects.

2.2.3. Institutionalize a Managed Supplier Agreement Management Process

To institutionalize SAM across the SIDS as a managed process, the SIDS and its sub-organizations must:

1. Establish policies for the SAM process;
2. Establish and maintain plans for the SAM process;
3. Provide adequate resources, including project monitoring and control tools for performing the SAM process;
4. Assign responsibility and authority for performing the SAM process;
5. Ensure that the people performing or supporting the SAM process are trained to perform their SAM duties;
6. Place designated work products of the SAM process under appropriate levels of configuration management;
7. Identify and involve the relevant stakeholders of the SAM process;
8. Monitor and control performance of the SAM process as planned and take appropriate corrective actions;
9. Objectively evaluate adherence of the SAM process against its process description, standards, and procedures, and address noncompliance; and
10. Conduct reviews of activities, status, and results of the SAM process with higher level management and resolve issues.